

## **Data Protection Act 1998 Undertaking follow-up**

### **Royal Borough of Windsor and Maidenhead ICO Reference: ENF0481638**

On 3 April 2014 the Information Commissioner's Office (ICO) concluded a follow-up assessment of the actions taken by Royal Borough of Windsor and Maidenhead in relation to the undertaking it signed on 24 September 2013.

The objective of the follow-up is to provide the ICO with a level of assurance that the agreed undertaking requirements have been appropriately implemented. We believe that appropriate implementation of the undertaking requirements will mitigate the identified risks and support compliance with the Data Protection Act 1998.

The follow-up assessment consisted of a desk based review of the evidence Royal Borough of Windsor and Maidenhead supplied to demonstrate the actions it had taken in respect of the undertaking requirements. This included copies of the security incident reporting policy and associated reporting and monitoring forms which had been put in place; a copy of the draft policy on information handling designed to ensure safe and secure handling of data; the training calendar of information security and data protection sessions developed to address training requirements and example HR records used to identify training requirements and copies of the communications endorsing this.

The review demonstrated that Royal Borough of Windsor and Maidenhead is taking appropriate steps and is putting plans in place to address the requirements of the undertaking, however planned work needs to be completed by Royal Borough of Windsor and Maidenhead to fully address the agreed actions, and it is noted that dates committed to for completion of some items were not met.

In particular Royal Borough of Windsor and Maidenhead confirmed that it has taken the following steps:

- The Council has reviewed and revised its policies and procedures for the handling and use of personal data.
- It has introduced a code of conduct and is currently developing an information handling policy.
- An ongoing training programme has been introduced, supported by systems to identify staff requiring refresher training and new starters requiring initial training.
- An incident reporting, recording and investigation process has been introduced to identify issues, allow the development of corrective measures and provide a basis to learn from past mistakes.

However Royal Borough of Windsor and Maidenhead should take further action:

- To finalise and gain ratification for the information handling policy.
- Complete data protection training for all existing staff allowing the implementation of annual refresher training for all staff plus the initial training of new starters.

Date Issued: 8 April 2014

***The matters arising in this report are only those that came to our attention during the course of the follow up and are not necessarily a comprehensive statement of all the areas requiring improvement.***

***The responsibility for ensuring that there are adequate risk management, governance and internal control arrangements in place rests with the management of Royal Borough of Windsor and Maidenhead.***

***We take all reasonable care to ensure that our Undertaking follow up report is fair and accurate but cannot accept any liability to any person or organisation, including any third party, for any loss or damage suffered or costs incurred by it arising out of, or in connection with, the use of this report, however such loss or damage is caused. We cannot accept liability for loss occasioned to any person or organisation, including any third party, acting or refraining from acting as a result of any information contained in this report.***